DOCUMENT RESUME

ED 394 977 SP 036 693

TITLE	The Implementation of Kentucky's School-Based Decision Making Program.
INSTITUTION	Kentucky Univ., Lexington. Inst. on Education Reform.
SPONS AGENCY	Kentucky Inst. for Education Research, Frankfort.
PUB DATE	Aug 95
NOTE	104p.; For related documents, see SP 036 685-694.
PUB TYPE	Reports - Evaluative/Feasibility (142)
EDRS PRICE	MF01/PC05 Plus Postage.
DESCRIPTORS	*Educational Assessment; Elementary Secondary Education; Program Evaluation; *Program Implementation; *School Based Management; *School Restructuring; State Departments of Education; State Regulation; *State Standards; Systems Analysis
IDENTIFIERS	*Kentucky; *Kentucky Education Reform Act 1990

ABSTRACT

This report describes what schools and educators across Kentucky are doing to implement school reform in school-based decision-making based on the Kentucky Education Reform Act of 1990 (KERA). The School-Based Decision Making (SBDM) component of KERA is a decentralized governance structure that vests great authority in SBDM councils operating at the individual school level. Sampling was accomplished by randomly selecting one high school, one middle or junior high school, and two elementary schools from each of the eight Regional Service Centers served by the Kentucky Department of Education; 31 out of 816 schools participated in the study. In each school, a minimum of three SBDM council members were interviewed including at least one teacher, one parent, and one administrator. Information was collected using the Innovation Component Configuration Map for School-Based Decision Making, by reviewing available documents at each school, and by conducting in-person interviews. Findings indicated that approximately two-thirds of the schools exhibit a moderate to high degree of SBDM implementation and one third a relatively low degree of implementation in relation to a predetermined optimum. Communication regarding SBDM issues and activities was found to be targeted to all stakeholders and accomplished in an ongoing and timely manner in 85 percent of the schools, although the principal in each school appeared to control the actual impact of the SBDM council. Overall, the SBDM concept was supported by council members, although a lack of parent and community involvement was cited as frustrating to the council members. Appendices include the innovation component map for school-based decision making; a map of geographic areas served by eight Kentucky Department of Education regional service centers; statistical representations of data gathered, form letters used, and protocols. (Contains 50 references.) (NAV)

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ED 394 977

THE KENTUCKY INSTITUTE FOR EDUCATION RESEARCH

The Implementation of Kentucky's School-Based Decision Making Program

A Report of Research
conducted by
Institute on Education Reform
University of Kentucky

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THE IMPLEMENTATION OF KENTUCKY'S SCHOOL-BASED DECISION-MAKING PROGRAM

A REPORT OF RESEARCH
CONDUCTED BY
A COOPERATING STATEWIDE UNIVERSITY
SBDM RESEARCH TEAM

PROJECT DIRECTOR,
EDDY J. VAN METER

AUGUST 1995

SUPPORTED WITH FUNDS FROM
THE KENTUCKY INSTITUTE FOR EDUCATION RESEARCH

PREFACE

This research project is one of six studies conducted in the spring of 1995 to determine the extent schools and educators across Kentucky had implemented Educational Technology, High School Restructuring, the Primary Program, Professional Development, Performance Assessment and School-Based Decision Making.

The studies were sponsored by the Kentucky Institute for Education Research, supported by funding from The Annie E. Casey Foundation. Each of the research projects was contracted to a Kentucky university that managed the research and employed the services of a team of researchers/field observers, mostly from higher education institutions across the state.

Each study was designed to collect data from a random set of schools across the eight state educational regions. All studies used a research tool developed especially for studying the progress of program implementation called an Innovation Component Configuration Map. The Configuration Map enables researchers to judge the level of implementation of different program components based on a common set of standards and guidelines.

Collectively, through these six studies, more than fifty trained researchers visited 189 schools across the Commonwealth conducting interviews, observing classrooms, training sessions and school council meetings, reviewing documents and collecting artifacts. To date this research represents the single most comprehensive effort to gage the level of implementation of programs initiated through the Kentucky Education Reform Act of 1990 (KERA).

The Kentucky Institute for Education Research is proud to be able to sponsor these projects and highly commends the members of the research teams and the universities for the excellent work of data collection and analysis they conducted under difficult conditions and a limited budget. On behalf of the Institute, I want to personally express my sincere appreciation to each of the principal investigators for their professional commitment to this statewide effort, their many hours of work beyond those budgeted in the contract and their perseverance to produce a high quality research report.

This report not only describes what schools and educators across the state are doing to implement school reform, it also provides research-based, thoughtful suggestions about how implementation of programs can be enhanced and the benefits of reform increased for the youth of Kentucky.

I sincerely hope you will find the contents of this report both informative and helpful.

Roger Pankratz, Executive Director
Kentucky Institute for Education Research

ACKNOWLEDGMENTS

This study of the implementation of School-Based Decision Making (SBDM) in a geographically diverse sample of Kentucky public schools was completed in a successful manner only because of the cooperation provided by numerous individuals.

A heartfelt word of thanks first goes to the principals, teachers, staff members and parents who participated in the study. These SBDM council members, and supporting individuals were exceedingly gracious in allowing the members of our research team to interrupt their busy schedules, visit their schools, and conduct our interviews.

Special thanks go to the members of our SBDM research team, each of whom is listed on the following page of this report. Each team member willingly took time away from his/her other professional commitments in order to participate in the training that was needed to be able to use the study interview protocol. Each member after this training then traveled to her/his assigned schools to conduct interviews and collect data. The team also met after the field portion of the study to discuss the result of their school visits and to suggest issues that needed to be addressed in this report. In essence, this study and report has very much been a collective effort of the entire SBDM research team.

I would also like to thank Dr. Gene Hall and Dr. Carolee Hayes for their assistance in the development of the Innovation Component Configuration Map for SBDM and for their work with our research team in the training needed to use the mapping process on site with school personnel. In addition, representatives from the Kentucky Department of Education were most helpful in reviewing the Innovation Component Configuration Map for SBDM as it was being developed and in making suggestions for improvement. Ms. Connie Deats, Mr. Charles Edwards, and Ms. Cheri Meadows were of particular assistance in the above regard. Dr. Archie George analyzed a portion of the data for us and helped us interpret the cluster analysis procedure.

Special appreciation is extended to Dr. Roger S. Pankratz, Executive Director of the Kentucky Institute for Education Research (KIER), for his leadership in initiating this series of KERA program implementation studies and for his commitment to organizing a cadre of Kentucky university-based researchers to conduct the studies and thereby to become more directly involved in our Kentucky educational reform initiative. Special thanks also go to Ms. Lori Henderson from the KIER staff for her assistance with every facet of this study including her involvement as a member of our SBDM research team. Ms. Nila Weddle from the KIER staff provided help throughout the period of the study.

Thanks also to Dr. John Fischetti, Dr. Brad Matthews, Dr. Brenda Stallion and Dr. Pat Daniel who facilitated the companion KERA program implementation studies that were completed at the same time our SBDM study was being conducted. Their thinking and commentary about similar issues helped our research team clarify our own course of action.

A very special thanks to Dr. Susan Scollay and Dr. James Rinehart from the University of Kentucky for serving as team leaders in coordinating the work of our SBDM research team in the eastern and central areas of the state respectively. Their assistance was invaluable.

Finally, my administrative assistant, Mrs. Mary Ann Belcher, again went the extra mile on this project and thus made all of our contributions possible.

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THE IMPLEMENTATION OF KENTUCKY'S SCHOOL-BASED DECISION-MAKING PROGRAM

EXECUTIVE SUMMARY AND RECOMMENDATIONS

The Purpose of the Study

The Kentucky Education Reform Act of 1990 (KERA), arguably the most comprehensive systemic statewide educational reform initiative ever attempted in the United States, set in motion a complete restructuring of the Kentucky public education system. New programmatic approaches were established in the areas of curriculum, finance and school governance. These new program initiatives have had an impact on every one of the some 1,365 public schools in the state. One of the most widely discussed and publicized mandates of KERA has been the establishment of School-Based Decision Making (SBDM), a decentralized governance structure which vests a great deal of authority in SBDM councils operating at the individual school level.

It was the purpose of this study to determine:

(a) the status of implementation of SBDM in a random selection of high schools, middle and junior high schools, and elementary schools geographically distributed throughout the state,

(b) patterns of implementation of various SBDM components such as policy development, focus of SBDM council meetings, process used in making decisions, and similar issues, and

(c) the perceived levels of support SBDM council members received in the implementation of the SBDM program.

Sponsored by the Kentucky Institute for Education Research (KIER), this study of the implementation of Kentucky's SBDM program was one of four KERA program implementation studies conducted during the first six-months of 1995. Companion studies were conducted to investigate the status of implementation regarding: (1) Use of Performance Assessments for Instruction; (2) School-Based Professional Development; and (3) High School Restructuring. A similar study was completed in 1994 to investigate the implementation of Kentucky's Primary Program, and a followup 1995 Kentucky Primary Program study was also conducted during the same time period as the four companion studies just noted. In addition, an implementation study of the Kentucky KERA Technology initiative is also being conducted in 1995 under KIER sponsorship.

The Statewide Sample

The sampling procedure used to determine schools to be included in the study involved a process of randomly selecting one high school, one middle or junior high school, and two elementary schools from each of the eight Region Service Centers (RSCs) served by the Kentucky Department of Education (KDE). The KDE Division of School Based Decision Making provided a list of all SBDM schools in the state as of December 14, 1994. This list was organized by Region Sevice Center area and it served as the sampling frame for the selection of study participants as described on page 12 of this report. Two replacement schools for each of the 32 targeted schools were also randomly selected at the time of the initial sampling in the event that interviews for some reason could not be conducted in a school included in the original sample. It was, in fact, subsequently necessary to include seven replacement schools in the final sample of schools participating in the study. In five instances this was necessary because an identified school had already been selected to participate in one of the other implementation studies, and the decision was made not to burden any one school with more than one site visit. In the other two instances, it was necessary to identify replacement schools because conflicting obligations precluded the originally selected schools from participating. Finally, it was ultimately not possible to obtain permission to conduct interviews at one school originally selected, and the timeframe for gaining consent to participate by the replacement school extended beyond the time of data collection. Thus, the final sample contained 31 schools instead of 32 as originally intended.

Of the 31 SBDM schools participating in the study, 7 were high schools, 8 were middle or junior high schools, and 16 were elementary schools. In each school a minimum of three SBDM council members were interviewed including at least one teacher, one parent, and one administrator. All eight Region Service Center areas in the state were represented, although no high school in RSC Area 6 was included in the study. The study sample is small (consisting of 31 SBDM schools from a population of 816 SBDM schools) and thus this sample may not be entirely representative of SBDM schools and programs throughout the state. Nonetheless it is the most comprehensive effort to-date to collect data at school sites regarding the implementation of SBDM. It is the first time that the Innovation Component Configuration Map for School-Based Decision Making that is described in the following section has been used to obtain implementation data.

The Data Collection Process

Information about the implementation of designated components of SBDM at each of the 31 schools was collected by trained observers using the Innovation Component Configuration Map for School-Based Decision Making (ICCM/SBDM), by reviewing SBDM-related documents available at each school, and by conducting interviews with at least three members of each school's SBDM council.

The Innovation Component Configuration Map for School-Based Decision Making contains descriptions of different levels of implementation for 13 sub-components of six major SBDM components: (1) Policy; (2) School Planning; (3) Communication; (4) Decision Making; (5) SBDM Training; and (6) Support. The ICCM/SBDM instrument was developed in the summer of 1994, with continuing refinements until the time of the study, by an ad hoc working group of individuals organized by KIER and including representatives of higher education, the state education department, and public school personnel employed in SBDM schools.

An SBDM research team of field observers was recruited and trained to conduct site visits at participating schools. The research team was composed of university professors and doctoral students from state universities throughout Kentucky. The team was organized into three working groups which in turn were given responsibility to conduct site visits at schools in the western, central or eastern areas of the state.

Principals of the selected SBDM schools were contacted by letter to explain the purpose of the study. They were also contacted via telephone by members of the research team to confirm participation in the study. Field observers then scheduled individual school site visits to conduct interviews and observations.

Data collected for analysis consisted of completed ICCM/SBDM instruments, notes from the interviews conducted with SBDM council members, and a review of SBDM-related documents available at each school site. A composite ICCM/SBDM instrument was constructed by the research team member for each school he/she visited based upon the total information obtained at the school site.

School visits were made during the period from early February, 1995 through late March, 1995.

Conclusions Based on Analysis of Data

The conclusions enumerated below are based on statistical analyses of the 31 composite ICCM/SBDM instruments constructed after the study site visits and on a debriefing of members of the SBDM research team during which observational information obtained during the site visits and supplementing the ICCM/SBDM mapping procedure was elicited and discussed by the team members.

1. Discernible patterns of SBDM implementation were evident among the 31 schools participating in the study, with approximately two-thirds of the schools exhibiting a moderate to relatively high degree of overall SBDM implementation, and approximately one-third of the schools exhibiting a relatively low degree of overall SBDM implementation. High, moderate and low implementation refers to how closely a school's rating on the ICCM/SBDM map matched the predetermined optimum rating by SBDM component area.

2. The degree to which a school was implementing school plans (e.g., School Technology Plan, School Transformation Plan, Chapter 1 Plan, Extended School Plan), and the degree to which a school was evaluating such school plans, were the two SBDM Configuration Map sub-components most highly correlated with overall SBDM implementation.

3. The appropriateness of SBDM training, and SBDM training frequency were the two SBDM Configuration Map sub-components least correlated with overall SBDM implementation.

4. In 22 of the 31 schools (72%), school-specific policies were either partially developed or in the initial stages of development, with such policies being reported as fully developed in only 6 of the 31 schools (19%).

5. Communication regarding SBDM issues and activities was found to be targeted to all stakeholders and accomplished in an ongoing and timely manner in 26 of the 31 schools (85%).

6. When all stakeholder groups were considered together, stakeholder support for SBDM was reported to be "good" in 8 schools (26%), "somewhat limited" in 20 schools (65%), and "minimal" in 3 schools (9%).

7. Consensus was identified as the method used to make decisions during SBDM council meetings in all 31 of the schools participating in the study although 8 schools reported also using voting to make decisions when necessary.

8. In 27 of the 31 schools (87%), it was reported that meeting times and locations for SBDM council meetings were acceptable and did not present a major problem with reference to attendance.

9. Principals on the SBDM councils at the schools studied appeared to be more knowledgeable regarding the status of school-specific policy development and the status of school planning efforts than were teacher or parent members of the SBDM councils.

10. Stakeholder support for SBDM among parents was reported to be lower than the support provided by any other stakeholder group.

11. While a large majority of the schools included in the study used multiple types of communication to inform stakeholders about SBDM activities at the school, including newsletters, radio, distribution of the minutes of council meetings, and television announcements where available, no consistent pattern of communication to stakeholders was evident across all of the schools.

12. SBDM-related training provided to council members was reported to be directly linked to identified needs and stages of council development at 8 of the 31 schools participating in the study (26%).

13. Almost all SBDM council members interviewed at the 31 schools indicated that while some SBDM-related problems existed at their school, they nevertheless supported the SBDM concept and would not want to return to the school governance structure existing prior to KERA.

14. The way in which schools participating in the study prepared and maintained the written minutes of their SBDM council meetings and school-specific policies, varied considerably from school to school.

15. SBDM council members interviewed during the study tended to view the role of the SBDM council as focusing on decision making about operational issues of importance at the school to a greater extent than viewing the role of the SBDM council only in terms of developing policy for the school.

16. Teacher and parent SBDM council members interviewed during the study frequently expressed how much they enjoyed being a member of the council and participating in the SBDM process, although they also often expressed concerns about the large amount of time required to do so.

17. For those schools in the study experiencing a relatively low degree of SBDM implementation, as revealed from an analysis of the composite SBDM Configuration Map for the school, it was apparent that the school was rated low on several of the 13 SBDM sub-components of the instrument. Thus, some cumulative impact of low sub-component implementation was potentially contributing to the overall school circumstance.

18. SBDM council members interviewed during the study frequently expressed frustration regarding a lack of parent and community member attendance and participation at SBDM council meetings, although when asked, they were seldom able to suggest specific ideas for increasing attendance and participation.

19. Of the five schools in the study experiencing a relatively low degree of overall SDM implementation (i.e., Cluster "5" schools), three were high schools.

Recommendations

1. Once a revised ICCM/SBDM instrument is developed and available for use, SBDM councils should assess the status of SBDM implementation at their schools by component and sub-component category and then design school-specific strategies to support the enhancement of SBDM implementation.

2. The expected role of SBDM councils with reference to developing, implementing and evaluating the status of school planning activities and documents (e.g., School Transformation Plan, School Technology Plan, Chapter 1 Plan) should be clarified so that SBDM council members know explicitly what is expected of the council with reference to such school planning.

3. SBDM councils should discuss their school's SBDM-related training needs in detail on a regular and timely basis; members of the council should articulate training needs in a targeted manner; and they should request training to meet these targeted needs. In addition, more emphasis should be given to working with SBDM councils in a technical assistance manner rather than just a training mode. Such technical assistance should be of longer duration and should also be more focused on the specific problem-related circumstances of each council.

4. SBDM councils should ensure that they have an up-to-date Policy Handbook developed which includes any and all policies germane to the operation of SBDM at the school, and they should also ensure that all members of the council as well as all members of the school staff are knowledgeable regarding the contents of the Policy Handbook.

5 An effort should be made to identify multiple strategies for increasing parent and community member participation in the SBDM process, including their support of SBDM, and information regarding such identified strategies should be disseminated to all SBDM councils in the state along with appropriate training on the subject.

6. Continuing efforts should be made to identify specific SBDM implementation success cases, and to disseminate details regarding how such success was accomplished to SBDM councils throughout the state, with a special targeting of such information to schools just adopting the SBDM format of governance.

7. The SBDM initiative of KERA should be continued, monitored and assessed on an ongoing basis, and improvements made as warranted.

Suggestions For Further Research

1. A replication of this study should be conducted with a larger sample of Kentucky SBDM schools, using a revised and improved version of the Innovation Component Configuration Map for School-Based Decision Making. The number of schools included should be such that data can be analyzed by school level and number of years of SBDM participation. A survey instrument relating to SBDM implementation issues should also be constructed and used in the study to obtain information that supplements data collected with the ICCM procedure.

2. In-depth case studies should be conducted in those SBDM schools experiencing a high degree of SBDM implementation success to obtain a more complete understanding of what contributes to the circumstances for such success.

3. Studies need to be conducted to explore the potential impact of council member turnover on SBDM implementation. Issues needing investigation include the focus of council meeting deliberations after a change in membership and specific professional development needs of SBDM councils that have experienced high membership turnover.

4. Studies need to be conducted regarding the patterns of SBDM implementation observed in Kentucky schools adopting SBDM at or near the 1996 deadline date established for such adoption in order to determine if these implementation patterns are similar to or different than implementation patterns observed in earlier adopting SBDM schools.

5. In-depth case studies should be conducted in those SBDM schools experiencing a low degree of SBDM implementation success to obtain a more complete understanding of what contributes to the circumstances of such a lack of success.

6. A study needs to be conducted to explore the potential impact of a change in the school principalship during SBDM implementation.

7. Studies need to be conducted regarding the specific kinds of support provided to SBDM schools by the school district during the early stages of SBDM adoption and implementation.

8. Studies need to be conducted regarding the potential impact on SBDM implementation attributable to the activities of committees that have been established by SBDM councils for the specific purpose of supporting the school SBDM effort.

9. A study needs to be conducted to explore the potential impact on SBDM implementation attributable to SBDM council structures that differ from the most common representational pattern of one administrator, three teachers, and two parents.

THE IMPLEMENTATION OF KENTUCKY'S SCHOOL-BASED DECISION MAKING PROGRAM

PURPOSE OF THE STUDY

Background of the Study

In 1990, the Kentucky General Assembly passed the Kentucky Education Reform Act (KERA) and in so doing set in motion a complete restructuring of the Kentucky public education system. One of the most widely discussed and publicized mandates of KERA is the establishment of School-Based Decision Making (SBDM), a decentralized governance structure which vests a great deal of authority in SBDM councils operating at the individual school level. With specified exceptions, all of the some 1,365 public schools in Kentucky are required to establish SBDM councils and thus to be functioning under a SBDM format of governance by July 1, 1996. It must be interactive with existing structures of district and state governance of education. Information provided by the Kentucky Department of Education indicates that as of April 5, 1995, 846 Kentucky schools had established SBDM councils and are engaged in the SBDM process.

The concepts of educational decentralization, SBDM, and school-based management are closely associated and over the past decade have gained popularity as governance options in the larger discussion and design of educational reform. In fact, as interest in these concepts has grown and as variations on each have been implemented in school systems throughout the United States, and in many other countries as well, we now have a rather informative literature on the topic in general and on each of the concepts in particular (Bailey, 1991; Bimber, 1993; Brown, 1990; Chapman, 1990; Chapman and Boyd, 1986; Cistone, 1989; Clune and White, 1988; Cole, 1993; Conley, 1991; Conley and Bacharach, 1990; David, 1989; Ferris, 1992; Guthrie, 1986; Harrison, Killion and Mitchell, 1989; Hess, 1991; Hess, 1992; Hannaway and Carnoy, 1993; Hill and Bonan, 1991; Herman and Herman, 1993; Ingwerson, 1990; Jacobsen and Woodworth, 1992; Kowalski and Oates, 1993; Malen and Ogawa, 1988; Malen, Ogawa and Kranz, 1990; Marburger, 1985; Mohrman, Wohlstetter and Associates, 1994; Prasch, 1990; Smylie, 1992; Walberg and Niemiec, 1994; Weiss, 1993; White, 1992; Wissler and Ortiz, 1986).

The Kentucky SBDM mandate is unique in some respects, however. For example, it was the first such mandate that was initiated on a statewide basis. It also goes well beyond the advisory nature of some shared decision-making schemes and gives real statutory decision-making authority to local school SBDM councils (Van Meter, 1991; Russo, 1994; Russo, 1995).

Since 1990, the literature relating specifically to the SBDM circumstances of Kentucky has also grown and now includes published accounts of not only the legal provisions of the mandate but also several other studies relating to the topic (Coe, Kannapel, Aagaard, and Moore, 1995; David, 1992; David, 1993; David, 1994; Kannapel, Moore, Coe and Agaard, 1994; Lindle, 1992; Lindle and Schrock, 1993; Lindle, Gale and Curry-White, 1994; Logan, 1992; Van Meter, 1994). Additionally, in 1994 the Kentucky Institute for Education Research published a series of reports presenting the results of surveys conducted with school personnel, parents and the public regarding reactions to KERA, including reactions to aspects of the SBDM mandate (Craig, 1994; Pankratz, 1994; Wilkerson & Associates, 1994).

This study adds to the growing body of literature concerning educational decentralization and school-based management, as well as adding to the literature on SBDM as practiced in Kentucky. What distinguishes this study from previous efforts is a focus on issues relating to the implementation of the SBDM mandate using a unique innovation mapping procedure that is being used for the first time here to investigate SBDM.

KIER Implementation Study

The SBDM study described in this report is part of a larger initiative sponsored by the Kentucky Institute for Education Research in 1995 involving four implementation studies of key KERA programs: Use of Performance Assessments for Instruction, School-Based Professional Development, School-Based Decision Making, and High School Restructuring. The common purpose shared by these studies is two-fold: 1) to determine the extent different program components are being implemented statewide and 2) to identify the most promising patterns of implementation.

It is anticipated that follow-up studies for each of the above KERA programs, and for other programs as well, will be conducted over the next several years. These subsequent studies will build upon this set of studies and when taken together will provide a documentation of the implementation and ultimate institutionalization and refinement of several key KERA programs.

Another purpose of the current set of studies is to investigate the applicability of using an innovation configuration mapping procedure to depict the status of implementation for the KERA programs mentioned. The use and refinement of such a mapping procedure should provide a way to study the implementation of KERA programs using a common format of inquiry rather than using several different methodologies that offer few possibilities of comparing implementation status across program areas. In this regard, some attempt will be made to conduct a meta-analysis of results from the four implementation studies now being completed. Such an analysis will be conducted once the four studies have been completed and will only be done in an exploratory manner at this early stage in the use of the mapping procedure, particularly since the mapping instrumentation itself is subject to refinement. Thus, while each investigation in the present set of KIER implementation studies is being conducted separately all nevertheless share a common format of conceptual design and are intended to provide a basis for future studies of a similar nature.

Innovation Configuration Mapping

Each of the four current KERA program implementation studies mentioned in the previous section, including the SBDM implementation study reported in this document, utilizes a data collection process called Innovation Configuration Mapping. This "mapping" process derives from a twenty-year research effort to study program implementation. This research effort has involved researchers from several countries and has incorporated the use of a shared perspective for understanding the change process that has come to be known as the Concerns Based Adoption Model (CBAM). The conceptual basis of the CBAM approach focuses on three diagnostic dimensions of the change process:

(1) user concerns,
(2) levels of use of the innovation, and
(3) innovation configurations (Hall and Hord, 1987).

Over time, the general Innovation Configuration (IC) Mapping process has been defined in such a way that it can be used to study the circumstances of any program implementation. The primary task is to first identify the operational components of the innovation. For example, in SBDM such components might include format of training or focus of SBDM council meetings. Then, the "variations" of each component are identified. Thus, an IC Map provides a way to describe what an innovation looks like as it is being put into practice or implemented. For example, an IC Map for SBDM in one school may reveal that virtually every component of SBDM is being implemented in a very appropriate or desirable manner, while the IC Map for another school may reveal that only one or two components of SBDM are being implemented in a positive way while "low" implementation is evident for other components.

The Innovation Component Configuration Map for School-Based Decision Making (ICCM/SBDM) that was developed specifically for this study is presented in Appendix A of this report. Information relating to the SBDM components included in the ICCM/SBDM is discussed in a later section of this report.

Purpose of the SBDM Implementation Study

The specific purpose of this study was three-fold:

1. to determine the status of implementation of SBDM in a random selection of high schools, middle and junior high schools, and elementary schools geographically distributed throughout the state,

2 to determine patterns of implementation of various SBDM components such as policy development, focus of SBDM council meetings, process used in making decisions, and similar issues, and

3. to determine the perceived levels of support SBDM council members received in the implementation of the SBDM program.

In effect, the results of this study should provide a baseline of information about SBDM implementation in Kentucky schools engaged in SBDM. It should also provide some indication of particular SBDM components that are crucial to implementation success.

DATA COLLECTION

Information relating to the data collection phase of the SBDM Implementation Study is presented in this section. Included under separate headings are descriptive summaries relating to: (1) the sample of schools included in the study; (2) the process used to train field interviewers; (3) the Configuration Map instrument used to collect information from interview respondents at each school; (4) consent-to-participate and interviewing protocols used with each person interviewed; (5) data collection processes employed at each school; and (6) procedures used in the analysis of data obtained from the study.

Study Sample

Based on an agreement reached at the outset of the KIER research project, a "purposive" selection procedure was utilized to identify schools that would be asked to participate in the SBDM Implementation Study. The guiding intent of the selection process was to identify what might be considered typical cases of SBDM implementation at the elementary, middle, and high school levels. At the same time, it was important to ensure that schools from all geographical regions of the state were included in the study. General parameters for the selection process included the following. At the time of the study:

1. The selected schools should be operating under a SBDM format of governance;

2. The selected schools should to the extent possible represent "typical" cases of SBDM implementation rather than unusual or problematic cases;

3. The selected schools should be located in differing geographical areas of the state;

4. The selected schools should include examples of SBDM operating at differing school grade levels including elementary, middle, and high schools: and

5. There should be a willingness to participate in the study obtained from school personnel at each selected site, including the agreement that SBDM study team members would make a school-site visit to conduct interviews with members of the school's SBDM council.

Given the above guidelines, the actual selection of a sample of SBDM schools to participate in the study was accomplished in the manner described below.

Step 1: Random Selection of SBDM Schools by KDE Region Service Center Area, Stratified by School Level

The KDE Division of School-Based Decision Making provided a list of the 816 schools in the state with SBDM councils as of December 14, 1994. This list was organized by Region Service Centers (RSCs), and it served as the sampling frame for the selection of study participants. The sampling procedure involved a process of randomly selecting one high school, one middle or junior high school, and two elementary schools from each of the eight RSC areas served by the Kentucky Department of Education.

A determination was made at the outset of the study that no school would be asked to participate in more than one of the implementation studies being conducted by KIER. The rationale for this decision was to preclude the possibility of any given school being burdened by multiple site visits and multiple interviews. Thus, any school that had already participated in the KIER-sponsored study of the implementation of Kentucky's Primary Program or that would be participating in the study of the implementation of High School Restructuring, for which a sample had already been determined, was excluded from the SBDM study sample of schools if selected. This did occur in five instances during the selection of the SBDM sample, and in each case another school was identified immediately by the random sampling process.

The above sampling procedure resulted in the identification of a total of 32 schools potentially to be included in the study: 8 high schools, 8 middle or junior high schools, and 16 elementary schools. To ensure that replacement schools could readily be identified in the event any of the originally selected schools were unwilling to participate in the study, two replacements for each of the 32 sample schools were also randomly selected at the time of the initial sampling.

A coding system was created at the time of the selection of participating schools, and each identified school, including potential replacement schools, was assigned a code number. This procedure ensured schools in the study sample could thereafter be identified by their assigned number rather than by their name, thus protecting the confidentiality of each school to the extent possible. A map depicting the eight KDE Region Service Center areas in Kentucky, from which the stratified sample of schools selected to participate in this study was drawn, is presented in Appendix B of this report.

Step 2: Request for Participation by Selected Schools

On January 27, 1995. Dr. Roger Pankratz, Executive Director of KIER, wrote to the superintendent of each school district within which a selected school for the study was identified. His letter informed the superintendent of the overall KIER-sponsored project to study KERA program implementation, including the SBDM investigation. It also requested the superintendent's support regarding building-level participation in the study. A copy of this letter is reproduced in Appendix C of this report.

On January 27, 1995 a letter was also sent to the principal of each of the 32 schools selected as potential participating schools in the SBDM study. Prepared by Dr. Pankratz and Dr. Eddy Van Meter, this letter informed the principal about the SBDM study and indicated that a contact would be made within approximately two weeks to confirm the participation of the school. A copy of this letter is reproduced in Appendix D of this report.

Step 3: Confirmation of Participating Schools and Selection of Alternative School Sites

The principal of each of the 32 schools initially selected was contacted by a member of the SBDM research team within the first two weeks of February 1995 to confirm participation in the study. Four schools declined to participate: 1 high school, 1 middle school, and 2 elementary schools. Replacement schools were identified, and contacts were made with each principal to describe the purpose of the study and seek participation. Agreement was obtained from the middle school and both elementary schools. The first replacement high school also declined to participate and a second replacement was contacted. A firm commitment to participate could not be obtained within the time frame necessary for the schedule of the study, however. Thus, in late February 1995 one high school was eliminated from the original 32-school sample.

Members of the SBDM research team were assigned to designated schools among the 31 participating in the study. Each individual interacted with the school principal to set a date and time for the site visit and to identify parent and teacher SBDM council members to be interviewed during that visit. As a result of this process, a total of 135 individuals were ultimately interviewed during the SBDM study: 40 parent council members, 33 principal and assistant principal council members, and 62 teacher council members. The number of individuals interviewed at each school by parent, principal and teacher category is identified in Appendix E of this report.

Several individuals at each school were interviewed during the course of data collection, but the school itself served as the unit of analysis for this study. While the study sample is small (31 schools), and thus the participating schools may not be entirely representative of SBDM schools and programs throughout the state, this is still the most comprehensive effort to-date to collect data on-site regarding the implementation of SBDM.

Observer Training

The SBDM research team recruited to conduct this study was comprised of university professors and doctoral-level graduate students, all of whom were familiar with the SBDM provisions of the Kentucky Education Reform Act. Professors and students from seven state universities served on the research team: (1) Eastern Kentucky University; (2) Morehead State University; (3) Murray State University; (4) Northern Kentucky University; (5) University of Kentucky; (6) University of Louisville; and (7) Western Kentucky University. Members of the team are identified at the beginning of this report.

The research team members served as the school-site observers and interviewers for the study, and they participated in a two-day training session to prepare them for this role. During the training, the identified observer and research team members reviewed the purposes of the study, reviewed the configuration mapping process to be used as one aspect of collecting data at each school site, and reviewed the procedures to be followed in conducting interviews at each school. The agenda for the two-day training session is reproduced and presented in Appendix F of this document.

During the training session, team members received an interview protocol sheet that was subsequently used at the beginning of each interview with an SBDM council member, and any questions or issues regarding the content or use of the protocol sheet were discussed and answered. A copy of the interview protocol is presented in Appendix G of this report. In addition, team members were instructed to complete an SBDM configuration map for each person during the structured interviews conducted at the time of the site visit. The information on these individual configuration maps was then to be combined by the researcher with whatever additional information was gained during the site visit in the compilation of a composite configuration map reflecting the overall SBDM implementation circumstances for the school.

At the conclusion of the two-day training session, the SBDM schools to be visited by each member of the research team were identified. Responsibility for contacting the principal of each school to be visited was given to each field observer. Specifically, each researcher was to confirm the participation of the school in the study, arrange a date for the site visit, and coordinate the identification of those members of the school's SBDM council to be interviewed.

The Development of the Configuration Map

As noted above, the research instrument used in this study was developed from a shared conceptual framework for understanding the change process known as the Concerns Based Adoption Model (CBAM). More than twenty years of research on the CBAM model centers around three diagnostic dimensions of the change process: user concerns, levels of use of the innovation, and innovation configurations. As defined by Hall and Hord (1987), innovation configurations focus on the extent to which a new program or practice resembles the intent or ideal of its developer(s).

Thus, the Innovation Component Configuration Maps developed for this set of KERA implementation studies measure the extent to which teachers, principals, students and parents are implementing the four targeted school reform programs as they were proposed by the designers of the Kentucky Education Reform Act. These research instruments provided an objective means for members of the four research teams to identify the variations of practice relative to the design ideal for each component of a school reform program being studied.

The Innovation Component Configuration Map for School-Based Decision Making (ICCM/SBDM) was developed by bringing together school practitioners, university faculty, and state Department of Education personnel in May 1994. The first draft of the ICCM/SBDM was field tested, revised, and then provided to the more than 1,300 elementary, middle and high schools across Kentucky for review and comment. Feedback from practitioners was used during the fall of 1994 to revise the ICCM/SBDM and the other Configuration Maps developed at that time and to prepare these instruments for use in all four companion implementation studies conducted in 1995, including the ICCM/SBDM instrument for the SBDM implementation study.

In effect, a completed ICCM/SBDM provides a description of current practices relative to what is expected under conditions of full implementation of School-Based Decision Making as defined by the components incorporated in the instrument design. These include six major components and 13 sub-components of SBDM as it is envisioned in the Kentucky Education Reform Act.

It should be emphasized that the ICCM/SBDM as used in this initial study of SBDM implementation is still considered an unfinished document, and it is subject to continued modification and refinement. In this regard, the SBDM research team was asked to note potential changes that might be needed in the instrument during the interviews conducted with school SBDM council members. Though not reported in this document, one expected outcome of this study is the development of a revised ICCM/SBDM instrument to be used in subsequent studies relating to this topic.

Protocols and Data Collection Process

Data collection at each school visited during the study was accomplished in several ways including

(a) obtaining and/or reviewing of any available SBDM-related documents at the school,

(b) observation and informal discussion about SBDM-related issues while visiting the school, and

(c) formal interviews conducted with a designated number of SBDM council members at the school, during which the ICCM/SBDM instrument was used to structure the interview and record each person's responses.

The general format of each school visit involved the SBDM research team member being at the school for a one-day or a two-day period during which all of the previously scheduled interviews were conducted. If possible, the research team member also attended a meeting of the school's SBDM council, though in some instances, it was not possible to schedule the site visit on a day when the SBDM council was meeting. Most interviews were scheduled during regular school hours, and an effort was made to conduct teacher interviews during the individual's planning period if possible. Some interviews were conducted with parent SBDM council members during the evening hours, although when this was necessary an effort was made to conduct the interview at the school location if possible.

An initial overview of the purpose and intended use of the study was provided at the beginning of each formal interview by reviewing the protocol mentioned in a previous section of this report and reproduced in Appendix G. Each person interviewed was also asked to read a consent form provided by the SBDM research team member conducting the interview and to sign two copies of the form. One copy was retained by the interviewee, and the other was kept by the research team member. A copy of this consent form is reproduced in Appendix H of this report. Each interview required approximately thirty-to-forty-five minutes to complete. The council member being interviewed was given a copy of the ICCM/SBDM instrument to look at as the SBDM research team member asked for a response to each item included on the instrument, and the interviewer recorded the respondent's answer to each item on a second ICCM/SBDM instrument.

After interviews at each school were completed, the SBDM research team member was responsible for creating a composite ICCM/SBDM for each school that he/she visited,. The composite map represents a summary of the results of all ICCM/SBDM maps completed at a given school as well as the judgment of the SBDM research team member regarding any supplementary or supporting information obtained or reviewed during the visit. In essence, the composite ICCM/SBDM is the primary data source used to describe the circumstances of SBDM implementation at each school.

On March 20, 1995 all members of the SBDM research team met at the KIER office in Frankfort, Kentucky. At this meeting each member of the research team provided a debriefing of her/his school visits and submitted all completed ICCM/SBDM maps to the project director. Research team members spent much of this half-day meeting discussing the various SBDM circumstances they encountered, the study data they collected, and sharing their professional impressions and interpretations of what they saw and heard during the site visits to the participating schools. It was during this meeting as well that the SBDM research team discussed the ICCM/SBDM as a data collection instrument and made suggestions for its revision and refinement.

Analysis Processes

In early April 1995 copies were made of all individual respondent and composite ICCM/SBDM instruments completed during the SBDM study. The copies were mailed to Dr. Archie George at the University of Idaho who has developed a computer analysis program for ICCM research purposes, and original ICCM/SBDM instruments from the study were retained by the project director. Analyses performed on data obtained through the IC mapping process include: (a) descriptive profiles of sample characteristics; (b) summaries of ICCM element and sub-component responses; (c) rank-order correlations of ICCM sub-component scores; and (d) cluster and discriminant analysis for sub-component.

On May 1, 1995 Drs. Archie George, Gene Hall, Roger Pankratz, and Eddy Van Meter met in Frankfort, Kentucky to review the initial analyses of data from the SBDM study and to determine any further analyses that might be needed. By June 1, 1995, all analyses for the SBDM study had been completed, and the results were mailed to Dr. Van Meter by Dr. George.

DESCRIPTIVE PROFILE OF SAMPLE SCHOOLS

Data were obtained from 31 Kentucky schools operating under the mandated SBDM format of governance, with 4 schools represented from each of the eight Regional Service Center areas of the state except Region 6 from which only three schools were visited. Sixteen of the 31 were elementary schools, eight were either middle or junior high schools, and seven were high schools. Because of the relatively small number of schools in the study's sample and because the study's objective was to gain an initial, statewide overview of SBDM implementation, the decision was made at the outset of the study to analyze and report data results for the entire sample of participating schools rather than by school level or any other stratifying characteristic. It is anticipated that an examination of SBDM implementation by school level will be included in studies being planned for the future that will use the IC Mapping process when it is possible to include a larger number of schools from each level in the investigation.

The number of teachers employed at the 31 study schools is indicated in Table 1. As enumerated, the smallest number of teachers employed at any site was 11 while the largest number was 62. Of the 31 schools, 21 employed no minority teachers; 5 employed 1 minority instructor; 3 employed 4 minority teachers; 1 employed 5; and 1 employed 9 minorities on their teaching staff.

Table 1

Number of Teachers Employed at 31 Schools
Participating in the SBDM Implementation Study

Teachers	Frequency	Percent	Cumulative Frequency
11	1	3.2	1
14	2	6.5	3
19	1	3.2	4
20	1	3.2	5
24	1	3.2	6
25	1	3.2	7
26	1	3.2	8
28	1	3.2	9
30	2	6.5	11
31	2	6.5	13
32	3	9.7	16
33	1	3.2	17
34	2	6.5	19
35	1	3.2	20
38	2	6.5	22
39	1	3.2	23
41	1	3.2	24
42	1	3.2	25
44	1	3.2	26
45	2	6.5	28
51	1	3.2	29
60	1	3.2	30
62	1	3.2	31

The student population for each of the 31 schools participating in the study is presented in Table 2. As indicated, the smallest school included in the study had a student population of 146 while the largest school enrolled 1,160 students.

Data relating to the number of individuals interviewed at each of the 31 schools are reported in Appendix E at the conclusion of this report. The smallest number of individuals interviewed was 2 at one school. At the majority of the participating schools, at least 3 individuals were interviewed: a principal, a teacher, and a parent. The largest number of individuals interviewed at any one school was 8. All persons interviewed were members of the SBDM council for their respective schools.

As discussed previously, the composite ICCM/SBDM instrument developed for each participating school was prepared by the SBDM research team member visiting that school, and it was based upon a review and summary of all ICCM/SBDM instruments plus any other observational information obtained during the visit.

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Table 2

Number of Students Enrolled at 31 Schools
Participating in the SBDM Implementation Study

STUDENTS	FREQUENCY	PERCENT	CUMULATIVE FREQUENCY
146	1	3.2	1
156	1	3.2	2
173	1	3.2	3
300	1	3.2	4
327	1	3.2	5
400	1	3.2	6
425	1	3.2	7
440	1	3.2	8
453	1	3.2	9
454	1	3.2	10
457	1	3.2	11
485	1	3.2	12
490	1	3.2	13
520	1	3.2	14
566	1	3.2	15
580	1	3.2	16
585	2	6.5	18
614	1	3.2	19
635	2	6.5	21
640	2	6.5	23
647	1	3.2	24
650	1	3.2	25
660	1	3.2	26
680	1	3.2	27
737	1	3.2	28
844	1	3.2	29
924	1	3.2	30
1160	1	3.2	31

RESULTS OF THE INNOVATION COMPONENT CONFIGURATION MAP DATA ANALYSIS AND RESEARCH TEAM MEMBER OBSERVATIONS

This section presents the results obtained from an analysis of the composite ICCM/SBDM instruments (maps) completed by researchers after site visits and interviews at each of the 31 schools in the study. In addition, the general observations of researchers based on their collective experiences in the 31 schools and obtained in a post-visit debriefing session are provided.

The results of the data obtained from ICCM/SBDM instruments (configuration maps) are discussed with respect to (a) the overall extent of implementation of SBDM of the study sample, (b) the critical sub-components that relate to high implementation, and (c) a cluster analysis of schools with different patterns of implementation.

Summary of Implementation by ICCM/SBDM Components and Sub-components

A question of central interest in this study relates to the degree of implementation taking place at the 31 participating schools with reference to major components and sub-components of SBDM as it is envisioned for Kentucky public schools. The basic issue is the extent to which, when taken together, the 31 schools are engaged in full or less than full implementation of these elements and components. The ICCM/SBDM instrument was designed to address this question directly because its core is comprised of six major components of SBDM as it is defined in the Kentucky Education Reform Act and 13 important sub-components of these. Those included in the instrument are the following:

1. POLICY
   Development of Written Policies at the School
   Administration of Policies at the School

2. SCHOOL PLANNING PROCESS
   Development of Plans
   Implementation of School Plans
   Assessment of School Plans

3. COMMUNICATIONS
   Focus of Communication
   Time Line for Communication

4. DECISION MAKING
   Focus of Council Meetings
   Convenience of SBDM Council Meetings
   Agenda Setting

5. SBDM TRAINING
   Appropriateness of Training
   Training Frequency

6. STAKEHOLDER SUPPORT FOR SBDM

The ICCM/SBDM instrument provides descriptions of different levels of variations of implementation for each of the sub-components of the six major elements. Presented below are the results for the 13 sub-components as depicted in the composite ICCM/SBDM for the 31 schools included in the study. The sub-component results are grouped by the six SBDM components identified above. It might be helpful to refer to the Innovation Component Configuration Map for School-Based Decision Making (ICCM/SBDM) that is reproduced in Appendix A of this report if a more complete description of an element, sub-component, or response alternative is needed.

Table 3 presents the number and percent of the 31 study schools at various stages of implementation of School-Based Decision Making by Sub-component of the ICCM/SBDM Instrument.

Table 3

Number and Percent of School Councils at Various Stages of Implementation
(Overall Summary of Composite ICCM/SBDM
Results for 31 Participating Schools)

POLICY			
Development of Written Policies at the School			
Policies fully developed	Policies partially developed	Policies in initial development stages	Other (using district policies; etc.)
6	11	11	3
(19%)	(36%)	(36%)	(9%)
Administration of Policies at the School			
Actions fully consistent with policies	Most actions consistent w/policies	Some actions consistent w/policies	Other (no policy; most actions inconsistent, etc.)
8	17	4	2
(26%)	(55%)	(13%)	(6%)

Table 3 (cont'd.)
Overall Summary of Composite ICCM/SBDM Results for 31 Participating Schools

SCHOOL PLANNING PROCESS			
Development of Plans			
Plans fully developed	Plans partially developed	Plans in initial stages of development	Other (no plans developed; not respond.)
11	16	3	1
(36%)	(52%)	(9%)	(3%)
Implementation of School Plans			
Plans fully implemented	Plans partially implemented	Plans in initial stages of implementation	Other (Plans not developed; etc.)
13	10	6	2
(42%)	(33%)	(19%)	(6%)
Assessment of School Plans			
Assessment is on-going	Assessment is quarterly	Assessment is annually or biannually	No assessment is done
19	1	10	1
(61%)	(3%)	(33%)	(3%)

Table 3 (cont'd.)
Overall Summary of Composite ICCM/SBDM Results for 31 Participating Schools

COMMUNICATION			
Focus of Communication			
Targeted to all stakeholders	Targeted to selected stakeholders	Targeted to selected individuals	Not targeted to groups or individuals
26	3	2	0
(85%)	(9%)	(6%)	(0%)
Timeline for Communication			
Ongoing and timely	Ongoing but sporadic	Only at designated times	Very infrequently or not at all
26	3	1	1
(85%)	(9%)	(3%)	(3%)

Table 3 (cont'd.)
Overall Summary of Composite ICCM/SBDM Reuslts for 31 Participating Schools

DECISION MAKING			
Focus on Council Meetings			
Focus on issues with much input	Focus on issues with limited input	Focus on issues with no input	Do not focus on issues
23	8	0	0
(74%)	(26%)	(0%)	(0%)
Convenience of SBDM Council Meetings			
Meetings are scheduled so all constituent groups can attend	Meetings scheduled such that constituents' attendance is limited	Meetings are scheduled inconveniently for all constituent groups	
27	4	0	
(87%)	(13%)	(0%)	
Agenda Setting			
Agenda distributed a week prior to meeting	Agenda distributed a day prior to meeting	Agenda distributed on day of meeting	Other (no agenda pro vided, etc.
16	13	2	0
(52%)	(42%)	(6%)	(0%)

Table 3 (cont'd.)

SBDM TRAINING			
Appropriateness of Training			
Comprehensive training clearly linked to needs	Selected training somewhat linked to needs	Limited training not linked to needs	Other (little or training)
8	18	4	1
(26%)	(58%)	(13%)	(3%)
Training frequency			
Ongoing as needed	Yearly	Start-up; no follow-up	No training
12	13	4	2
(39%)	(42%)	(13%)	(6%)

STAKEHOLDER SUPPORT FOR SBDM			
Good support for SBDM	Somewhat limited support for SBDM	Minimal support for SBDM	No support for SBDM
8	20	3	0
(26%)	(65%)	(9%)	(0%)

Table 4 presents the means and standard deviations for the 31 schools on each of the sub-components based on a score of "1" as the highest level of implementation and a score of "4" as the lowest level of implementation.

Table 4
Means and Standard Deviation for the 13 Components

SUBCOMPONENT	MEAN	STD.. DEV.
Average	1.72	0.47
Development of Written Policies	2.39	0.99
Administration of Policies	2.07	1.00
Development of Plans	1.81	0.75
Implementation of Plans	1.90	0.94
Assessment of Plans	2.10	1.147
Focus of Communications	1.23	0.56
Time Line for Communication	1.26	0.68
Focus of Council Meetings	1.26	0.44
Convenience of Council Meetings	1.13	0.34
Agenda Setting	1.55	0.62
Appropriateness of Training	1.97	0.84
Training Frequency	1.81	0.75
Stakeholder Support	1.87	0.56

Analysis of Sub-Components Related to High Implementation of SBDM

A series of Spearman Rank-Order Correlations were computed to determine which sub-components of the ICCM/SBDM instrument were particularly good indicators of overall SBDM implementation. The higher the rank-order correlation coefficient, the better the sub-component as a critical indicator of overall implementation. The lower the rank order correlation coefficient, the less likely the sub-component is a predictor of overall implementation.

Table 5 presents the Spearman correlation coefficients of sub-components of the ICCM/SBDM Instrument in descending order.

Table 5
Spearman Correlation Coefficient and Probability for the ICCM/SBDM Components

ICCM/SBDM COMPONENT	SPEARMAN COEFFICIENT	PROBABILITY
Assessment of Plans	.732	.0001
Implementation of Plans	.633	.0001
Development of Written Policies	.618	.0002
Focus of Council Meetings	.596	.0004
Administration of Policies	.535	.0019
Stakeholder Support for SBDM	.525	.0024
Focus of Communications	.491	.0051
Development of Plans	.479	.0064
Agenda Setting	.465	.0084
Convenience of Council Meetings	.443	.0126
Timeline for Communications	.422	.0180
Appropriateness of Training	.360	.0466
Training Frequency	.360	.0471

Analysis of SBDM Implementation by Clusters of Schools

Another way to look at how schools are implementing SBDM is to cluster schools according to implementation patterns. An analysis program developed by Dr. Archie George from the University of Idaho especially for application to Innovation Component Configuration Maps grouped the 31 schools into clusters with respect to two factors: the school's overall mean score on the ICCM/SBDM Instrument and their likeness of implementation patterns. That is, were the schools relatively high and low on the same sub-components of the map?

The cluster analysis yielded five groups or "clusters" and a set of outlier schools that did not fit the pattern of any of the five identified clusters.

To further help identify the uniqueness of each cluster, a Discriminant Analysis was applied to the sub-component scores and yielded a Total Canonical Structure of two dimensions, Can 1 and Can 2. Table 6 shows the extent to which each sub-component of the ICCM/SBDM contributes positively or negatively to these two statistical dimensions.

If one examines Table 6, the dimension Can 1 represents high implementation on all sub-components with emphasis on policy development, planning and implementation. On the other hand schools that are high on the second dimension, Can 2, are high on policy development and general stakeholder support but have lower scores in the development and implementation of plans and training.

Table 6
Total Canonical Structure
Contribution of Sub-Components To The Two Dimensions - Can 1 and Can 2

ICCM/SBDM SUB-COMPONENT	CAN 1	CAN 2
Development of written policies	0.581	0.430
Administration of Policies	0.679	0.016
Development of Plans	0.523	-0.303
Implementation of Plans	0.552	-0.060
Assessment of Plans	0.637	0.390
Focus of Communications	0.406	0.112
Timeline for Communication	0.440	0.192
Focus of Council Meetings	0.423	0.163
Convenience of Council Meetings	0.567	-0.187
Agenda Setting	0.206	0.090
Appropriateness of Training	0.435	-0.060
Training Frequency	0.458	-0.013
Stakeholder Support for SBDM	0.448	0.546

Table 7 shows the Can 1 and Can 2 scores for each of the 31 schools as well as the cluster in which the school was grouped. Cluster 0 indicates the school is an outlier and does not meet the statistical requirements to group with any of the five identified clusters.

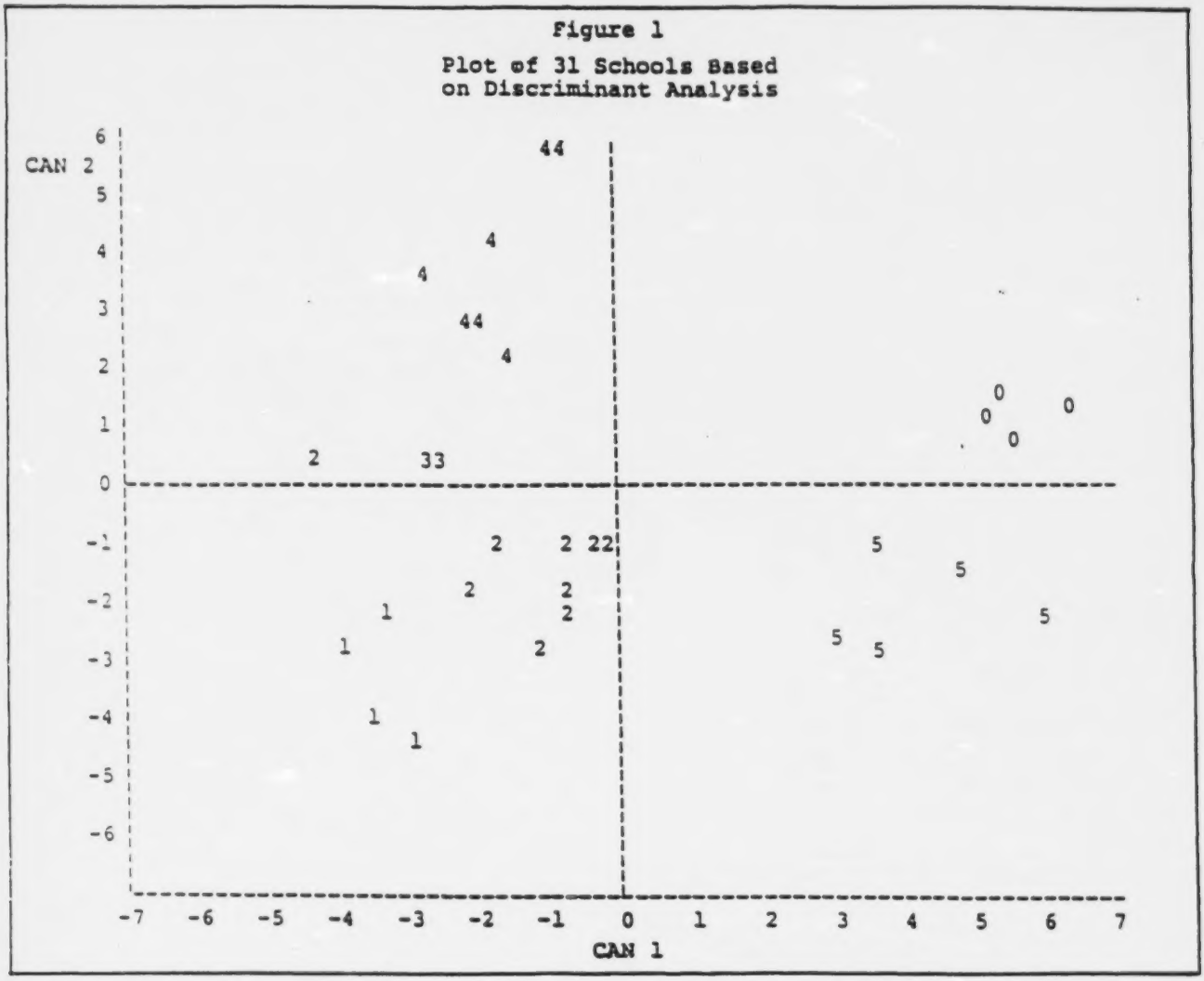
Table 7
Discriminant Analysis and Cluster Identification
for 31 Schools Participating in the SBDM Implementation

SCHOOL	CAN 1 SCORE	CAN 2 SCORE	CLUSTER ID
1	-2.2	2.9	4
2	-4.4	0.6	2
3	6.0	-2.1	5
4	-3.0	-4.2	1
5	-0.1	-1.1	2
6	-2.2	2.9	4
7	5.3	1.3	0
8	3.0	-2.6	5
9	-1.5	2.7	4
10	5.4	1.9	0
11	-0.7	6.0	4
12	-1.6	4.7	4
13	-0.8	5.9	4
14	-0.7	-1.8	2
15	-2.8	0.5	3
16	3.5	-1.1	5
17	4.8	-1.6	5
18	-3.0	3.6	4
19	-0.7	-1.3	2
20	-1.6	-1.1	2
21	6.6	1.6	0
22	-1.2	-2.9	2
23	-3.7	-3.9	1
24	5.5	1.0	0
25	-4.0	-2.7	1
26	-0.4	-1.0	2
27	-2.1	-1.8	2
28	-2.8	0.4	3
29	3.5	-3.0	5
30	-3.3	-2.0	1
31	-0.8	-1.9	2

A graphic plot of the discriminant analysis results is presented in Figure 1. This scatter plot reproduces the data displayed in Table 7 but does so in a visual representation showing how each of the 31 schools cluster with respect to the dimensions Can 1 and Can 2. It should be recalled that the position on the Can 1 scale is related to overall implementation, especially in critical subcomponents, and the position on the Can 2 scale is related to a low degree of planning, implementation and training.

Figure 1

Plot of 31 Schools Based on Discriminant Analysis



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In sum, the results of the discriminant analysis suggest different patterns of SBDM implementation among the 31 schools participating in the study. The following brief descriptions provide some indication of these differences:

- Schools in Cluster 1 are characterized by a high degree of SBDM implementation across almost all ICCM/SBDM sub-components.

- Schools in Cluster 2 are characterized by a relatively high degree of SBDM implementation, although not as high as Cluster 1 schools, and are distinguishable also because of lower implementation with reference to the sub-components relating to SBDM training and to stakeholder support for SBDM.

- Schools in Cluster 3 are characterized by a moderately high degree of SBDM implementation, although not as high as schools in the previous two clusters and are distinguishable also because of somewhat lower implementation with reference to the sub-components relating to development of school SBDM policies and implementation of school plans.

- Schools in Cluster 4 are characterized by a moderate degree of SBDM implementation across several sub-components but are particularly distinguishable because of relatively low implementation with reference to sub-components relating to development of school SBDM policies and to assessment of school plans.

- Schools in Cluster 5 are characterized by a relatively low degree of SBDM implementation, and this is created by low implementation with reference to several sub-components including the development and administration of school SBDM policies, assessment of school plans, SBDM training, and stakeholder support for SBDM.

Research Team Member Observations

An additional source of information regarding the SBDM circumstances at each school participating in the study was provided by the observations made by members of the SBDM research team during their respective school visits. These observations included information gleaned from a review of SBDM-related documents at the school, such as the minutes of SBDM council meetings, and also information obtained during the interviews conducted at the school as well as more informal discussions held before and after these interviews.

Guidelines for conducting the interview using the ICCM/SBDM instrument called for the research team member conducting the interview to write any clarifying comments, observations or remarks directly on the instrument form. This procedure allowed the interviewer to capture a respondent's elaboration regarding an answer about one of the sub-components of the instrument, and also to probe for additional details or commentary about a particular topic if needed.

Observations of the research team members were also elicited during a debriefing session that was conducted after all the site visits were completed. This day-long meeting was held in Frankfort, Kentucky. During this meeting an opportunity was provided for each member of the SBDM research team to comment on the school visits that he or she conducted, and to point out or reinforce information that was included on the individual or composite ICCM/SBDM instruments completed at each school.

These additional sources of information resulted in the identification of several general findings that seemed to be evident across the participating schools.

It was generally agreed by the members of the research team that principals at the schools visited were more knowledgeable regarding the SBDM circumstances of their respective school than were teacher or parent members of the school's SBDM council. This observation is not surprising given the fact that in virtually every instance the principal of the school served as the chairperson of the SBDM council and in this capacity was directly involved with such activities as being sure that an agenda for council meetings was prepared and distributed, and ensuring that minutes for council meetings were disseminated and filed after meetings. In addition, it was observed that SBDM-related information sent to the school from external sources was most often sent to the school principal who, in turn, is then responsible to see that the information is disseminated to other members of the SBDM council as appropriate

Another general observation reported by members of the research team focused on the support expressed for SBDM by individuals at the schools visited. A common exchange during the interview would involve the person being interviewed making reference to an SBDM-related problem existing at the school, but then indicate that he or she on balance nonetheless would prefer to retain SBDM as a form of school governance even if such problems were part of the innovation. A good example of the kind of SBDM-related problem mentioned in this context was the amount of time needed if an individual was willing to serve on the school's SBDM council. A number of persons interviewed commented on the burden of time involved in serving on the council, yet went on to say that it was worth the effort, all things considered.

During the study debriefing mention was also made by the members of the research team regarding the variations observed with reference to how the minutes of council meetings were prepared, how agendas for council meetings were written, and how SBDM Policy Manuals were prepared and then made available within the school. Some councils had rather detailed and well-prepared documentation of what was taking place as a result of council actions while other councils had minimal written records. Poor record keeping was viewed by the research team as a problem area that should be addressed in the future.

CONCLUSIONS BASED UPON ANALYSES AND OBSERVATION RESULTS

1. Discernible patterns of SBDM implementation were evident among the 31 schools participating in the study, with approximately two-thirds of the schools exhibiting a moderate to relatively high degree of overall SBDM implementation, and approximately one-third of the schools exhibiting a relatively low degree of overall SBDM implementation.

2.. The degree to which a school was implementing school plans (e.g., School Technology Plan, School Transformation Plan, Chapter 1 Plan, Extended School Plan), and the degree to which a school was evaluating such school plans, were the two ICCM/SBDM sub-components most highly correlated with overall SBDM implementation.

3. The appropriateness of SBDM training, and SBDM training frequency were the two ICCM/SBDM sub-components least correlated with overall SBDM implementation.

4. In 22 of the 31 schools (72%), school-specific policies were either partially developed or in the initial stages of development, with such policies being reported as fully developed in only 6 of the 31 schools (19%).

5 Communication regarding SBDM issues and activities was found to be targeted to all stakeholders and accomplished in an ongoing and timely manner in 26 of the 31 schools (85%).

6. When all stakeholder groups were considered together, stakeholder support for SBDM was reported to be "good" in 8 schools (26%), "somewhat limited" in 20 schools (65%), and "minimal" in 3 schools (9%) .

7. Consensus was identified as the method used to make decisions during SBDM council meetings in all 31 of the schools participating in the study although 8 schools reported also using voting to make decisions when necessary.

8. In 27 of the 31 schools (87%), it was reported that meeting times and locations for SBDM council meetings were acceptable and did not present a major problem with reference to attendance.

9. Principals on the SBDM councils at the schools studied appeared to be more knowledgeable regarding the status of school-specific policy development and the status of school planning efforts, than were teacher or parent members of the SBDM councils.

10. Stakeholder support for SBDM among parents was reported to be lower than the degree of support provided by any other stakeholder group.

11. While a large majority of the schools included in the study used multiple types of communication to inform stakeholders about SBDM activities at the school, including newsletters, radio, distribution of the minutes of council meetings, and television announcements where available, no consistent pattern of communication to stakeholders was evident across all of the schools.

12. SBDM-related training provided to council members was reported to be directly linked to identified needs and stages of council development at 8 of the 31 schools participating in the study (26%).

13. Almost all SBDM council members interviewed at the 31 schools indicated that while some SBDM-related problems existed at their school, they nevertheless supported the SBDM concept and would not want to return to the school governance structure existing prior to KERA.

14. The way in which schools participating in the study prepared and maintained the written minutes of their SBDM council meetings and school-specific policies varied considerably from school to school.

15. SBDM council members interviewed during the study tended to view the role of the SBDM council as focusing on decision making about operational issues of importance at the school to a greater extent than viewing the role of the SBDM council only in terms of developing policy for the school.

16. Teacher and parent SBDM council members interviewed during the study frequently expressed how much they enjoyed being a member of the council and participating in the SBDM process, although they also often expressed concerns about the large amount of time required to do so.

17. For those schools in the study experiencing a relatively low degree of SBDM implementation, as revealed from an analysis of the composite ICCM/SBDM for the school, it was apparent that the school was rated low on several of the 13 SBDM sub-components of the instrument. Thus, some cumulative impact of low sub-component implementation was potentially contributing to the overall school circumstance.

18. SBDM council members interviewed during the study frequently expressed frustration regarding a lack of parent and community member attendance and participation at SBDM council meetings, although when asked, they were seldom able to suggest specific ideas for increasing attendance and participation.

19. Of the five schools in the study experiencing a relatively low degree of overall SBDM implementation (i.e., Cluster "5" schools), three were high schools.

RELATIONSHIP OF FINDINGS TO OTHER STUDIES

As a general statement, it can be said that the findings reported in this study with some exceptions are consistent with the findings of other studies that have been conducted over the past two or three years to investigate the circumstances of the Kentucky SBDM mandate.

Lindle, Gale and Curry-White (1994) provide results of the second annual School-Based Decision Making Survey. In this study, five groups were surveyed including parents, teachers and principals in SBDM schools as well as superintendents and also principals of non-SBDM schools. Among their findings were indications that (a) SBDM council members were generally positive about the SBDM circumstances at their respective schools; (b) respondents were generally satisfied with SBDM council communications; (c) schools were using the recommended School Transformation Plan to define and focus school improvement needs and activities; and (d) SBDM councils generally were using consensus to make decisions. While other issues were investigated in their study, the above noted findings are consistent with results obtained in our SBDM Implementation study reported here. One issue addressed in both of the studies does remain somewhat unclear, and this relates to perceptions of stakeholder support for SBDM. In their study, SBDM council parents reported relatively low support from other parents, central office staff, superintendents and school boards. However, in our study, which combined SBDM parent responses with those of teacher and principal members of the council in creating each school's composite ICCM/SBDM, stakeholder support from parents was perceived to be relatively low but other stakeholder group support--including superintendents and school boards--was reported to be moderate to high.

In 1994, the Kentucky Institute for Education Research sponsored a Statewide Education Reform Survey (Wilkerson & Associates, 1994). This survey was conducted by telephone, with the focus of the study on the overall status of KERA, and thus SBDM was only one aspect of the larger inquiry. The study included respondents from six groups: School principals, instructional coordinators, teachers, SBDM council parents, public school parents, and members of the general public. In this study, with reference to SBDM, all six respondent groups judged SBDM to be working very well or moderately well (p. 24). Other findings from the study revealed that SBDM council parent members generally believed that council decisions were being made in a collaborative manner (p. 34), and these parent members also believed they were very much involved in the decision making process (p. 35). Findings from our SBDM Implementation Study tend to confirm the latter two findings just mentioned, and while the wording of questions in the two

studies was somewhat different--we did not ask if SBDM was working well as a specific question--we did find that respondents from all reporting groups in our study did want to retain the SBDM format of governance. Findings from the two studies with reference to the adequacy or lack thereof of SBDM-related training were also reasonably consistent. For example, in the statewide telphone survey 34.7 percent of the responding SBDM council parents indicated receiving only limited training, with only 13.9 percent saying they were completely trained to fulfill their role as a council member (p. 37). In a similar manner, in our study only 26 percent of the participating schools were reported as having comprehensive training clearly linked to needs (i.e., see Table 3 of this report).

A five-year study of SBDM implementation is also being conducted by the Appalachia Educational Laboratory in four rural school districts of Kentucky, with reports now available regarding findings at the mid-point of this inquiry (Kannapel, Moore, Coe and Aagaard, 1994; Coe, Kannapel, Aagaard and Moore, 1995). Among their earlier findings were indications (1) that while KERA gives SBDM councils considerable authority, not all councils choose to exercise this authority; (2) that council decision making modes can be characterized as balanced (i.e., involving parents and educators), educator-dominated, or principal-dominated; (3) that council training as well as several other factors contribute to effective SBDM implementation; and (4) that councils exhibiting balanced modes of decision making tend to make decisions in more critical areas of school life than do councils dominated only by educators or the principal. Their latest findings suggest further that because of unique local traditions and personalities, school councils have not been institutionalized; that council decisionmaking modes seem to fluctuate; that the rural circumstances of the districts seem to affect personnel decisions made by SBDM councils; and that KERA implementation did not appear to be qualitatively different in schools with and without SBDM councils (1995, pp. 2-3). Where our SBDM Implementation Study overlapped with issues examined in the AEL study, the findings appear to be relatively consistent. However, as already noted, this study did not find council training to be among the most important contributing ingredients leading to high implementation, nor did we find such clear distinctions of balanced educator-dominated and principal-dominated modes of SBDM decision behaviors, although it should certainly be pointed out that the ICCM/SBDM format was not designed to specifically investigate this issue. It is also interesting to speculate on the extent to which detail about the particular circumstances of a school situation is perhaps missed when only a one-day site visit forms the basis of judgement about implementation, in contrast to a more in-depth repeat interaction at the school as has been the case with the AEL strategy. In effect, the more geographically representative strategy has advantages and disadvantages, as does the more focused case study approach, which may reinforce the applicability fo using both.

The Prichard Committee for Academic Excellence has sponsored a five-year study of SBDM in a select number of Kentucky school districts. Three annual reports have been prepared with reference to this study (David, 1992; David, 1993; David, 1994). Findings thus far indicate that SBDM training has been somewhat weak in terms of assisting councils in linking KERA and learning outcomes; concils continue to focus decisions on such issues as student discipline, extracurricular activities, and facility-related problems, somewhat to the exclusion of focusing on

issues directly linked to curriculum, instruction and student learning; and parental involvement continues to be a problem. Again, the findings of our study appear to reinforce these findings to a large extent, although our ICCM/SBDM results did suggest that SBDM councils at the 31 schools we studied are developing school-specific policies in the areas of curriculum and instruction at a rate that is at least as frequent as in other areas including the area of extra-curricular activities.

In sum, it appears that most of the currently available empirically based research on the Kentucky SBDM mandate reveals a pattern of reasonably consistent findings. Individuals involved in the SBDM process directly do seem to like this format of school governance, even though the time requirements are demanding and problems do exist with reference to finding individuals willing to participate. SBDM councils do seem to create a structure for making decisions, even if the roles assumed by various members of the council when it comes to actual involvement differ, often as a consequence of the amount of control retained or relinquished by the principal. And SBDM councils do seem to initiate and monitor school-related activities, many of which appear to focus on the operational matters of immediate importance at a given school.

RECOMMENDATIONS

The recommendations set forth below are based on the findings of this study and are intended to improve the future circumstances of SBDM implementation in Kentucky schools and school districts. In addition, these recommendations may be of interest and use to individuals working in locations outside of Kentucky who are adopting school governance structures that are similar to the Kentucky SBDM format of governance.

1. Once a revised ICCM/SBDM instrument is developed and available for use, SBDM councils should assess the status of SBDM implementation at their schools by component and sub-component category and then design school-specific strategies to support the enhancement of SBDM implementation.

2. The expected role of SBDM councils with reference to developing, implementing and evaluating the status of school planning activities and documents (e.g., School Transformation Plan, School Technology Plan, Chapter 1 Plan) should be clarified so that SBDM council members know explicitly what is expected of the council with reference to such school planning.

3. SBDM councils should discuss their school's SBDM-related training needs in detail on a regular and timely basis; members of the council should articulate training needs in a targeted manner; and they should request training to meet these targeted needs.

4. SBDM councils should ensure that they have an up-to-date Policy Handbook developed which includes any and all policies germane to the operation of SBDM at the school, and they should also ensure that all members of the council as well as all members of the school staff are knowledgeable regarding the contents of the Policy Handbook.

5. An effort should be made to identify multiple strategies for increasing parent and community member participation in the SBDM process, including their support of SBDM, and information regarding such identified strategies should be disseminated to all SBDM councils in the state along with appropriate training on the subject.

6. Continuing efforts should be made to identify specific SBDM implementation success cases, and to disseminate details regarding how such success was accomplished to SBDM councils throughout the state, with a special targeting of such information to schools just adopting the SBDM format of governance.

7. The SBDM initiative of KERA should be continued, monitored and assessed on an ongoing basis, and improvements made as warranted.

SUGGESTIONS FOR FURTHER RESEARCH

1. A replication of this study should be conducted with a larger sample of Kentucky SBDM schools, using a revised and improved version of the Innovation Component Configuration Map for School-Based Decision Making. The number of schools included should be such that data can be analyzed by school level and number of years of SBDM participation. A survey instrument relating to SBDM implementation issues should also be constructed and used in the study to obtain information that supplements data collected with the ICCM procedure.

2. In-depth case studies should be conducted in those SBDM schools experiencing a high degree of SBDM implementation success to obtain a more complete understanding of what contributes to the circumstances for such success.

3. Studies need to be conducted to explore the potential impact of council member turnover on SBDM implementation. Issues needing investigation include the focus of council meeting deliberations after a change in membership and specific professional development needs of SBDM councils that have experienced high membership turnover.

4. Studies need to be conducted regarding the patterns of SBDM implementation ob served in Kentucky schools adopting SBDM at or near the 1996 deadline date established for such adoption in order to determine if these implementation patterns are similar to or different than implementation patterns observed in earlier adopting SBDM schools.

5. In-depth case studies should be conducted in those SBDM schools experiencing a low degree of SBDM implementation success to obtain a more complete understanding of what contributes to the circumstances of such a lack of success.

6. A study needs to be conducted to explore the potential impact of a change in the school principalship during SBDM implementation.

7. Studies need to be conducted regarding the specific kinds of support provided to SBDM schools by the school district during the early stages of SBDM adoption and implementation.

8. Studies need to be conducted regarding the potential impact on SBDM implementation attributable to the activities of committees that have been established by SBDM councils for the specific purpose of supporting the school SBDM effort.

9. A study needs to be conducted to explore the potential impact on SBDM implementation attributable to SBDM council structures that differ from the most common representational pattern of one administrator, three teachers, and two parents.

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APPENDIX A
INNOVATION COMPONENT CONFIGURATION MAP
FOR
SCHOOL-BASED DECISION MAKING

AN INNOVATION COMPONENT CONFIGURATION MAP
FOR
SCHOOL-BASED DECISION MAKING

School:	Observer:	Date:
Number of teachers: Number of minority teachers:	Number of students:	Number of SBDM school council members:
Number of SBDM parents: Students (ex-officio): Teachers: Classified staff (ex-officio): Administrators: Other community members:	Does the school have eight percent or more minority population? yes____ no____	Number of minority parents serving on council_____ Number of minority teachers serving on council _____

Please note:

This document was developed by the Kentucky Institute for Education Research for the purpose of studying the implementation of School-Based Decision Making and is not to be used as an evaluation instrument. While it was designed as a research tool, this document can be used for planning and self-assessment of local patterns of implementation.

This document, known as a Component Configuration Map, identifies key components of School-Based Decision Making and describes variations in practice one would expect to find across the state. The variations farthest to the left are considered by Kentucky practitioners, researchers and developers to be the emerging practice advocated in the KERA initiative. Determining which is the most effective or efficient variation of practice will be the challenge of ongoing research.

The developers of this Innovation Component Configuration Map are periodically reviewing and revising this instrument to improve its usefulness and ability to identify important variations in practice. Please send all comments and suggestions to Roger Pankratz, Executive Director, Kentucky Institute for Education Research, 146 Consumer Lane, Frankfort, Kentucky 40601. Fax 502-227-8976.

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F. Support for SBDM 15

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SCHOOL BASED DECISION MAKING
Innovation Component Configuration (ICC) Map

A Policy/By-Laws

1) Development of Written Policies at the School *(stakeholder involvement, collaboration)*
Place a check next to each policy area indicating the stage of development.

School Council Policy Areas	(a) School specific written policies/by-laws are fully developed by a collaborative effort among administrators, staff, parents and students.	(b) School specific written policies/by-laws are partially developed by a collaborative effort among administrators, staff, parents and students.	(c) School specific written policies/by-laws are in the initial stages of development with limited input from administrators, staff, parents and students.	(d) The school is using district policies.	(e) Policies/by-laws have not been developed thus far.
1 Determination of curriculum					
2 Determination of the use of school space					
3 Scheduling of the school day and the school week					
4 Assignment of instructional and non-instructional staff time					
5 Assignment of students to classes and programs					

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School Council Policy Areas	(a) School specific written policies/by-laws are fully developed by a collaborative effort among administrators, staff, parents and students	(b) School specific written policies/by laws are partially developed by a collaborative effort among administrators, staff, parents and students	(c) School specific written policies/by laws are in the initial stages of development with limited input from administrators, staff, parents and students	(d) The school is using district policies	(e) Policies/by-laws have not been developed thus far
6 Selection of extra-curricular activities for the school					
7 Issues regarding instructional practices					
8 Selection of discipline and classroom management techniques					
9 Policy for determining alignment with state standards, technology utilization, and program appraisal					
10 Personnel policies a) Consultation on personnel selection b) Selection of principal					
11 Policy on committees					

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School Council Policy Areas	(a) School specific written policies/by-laws are fully developed by a collaborative effort among administrators, staff, parents and students.	(b) School specific written policies/by-laws are partially developed by a collaborative effort among administrators, staff, parents and students.	(c) School specific written policies/by-laws are in the initial stages of development with limited input from administrators, staff, parents and students.	(d) The school is using district policies.	(e) Policies/by-laws have not been developed thus far.
12. Budget a) Determination of number of persons to be employed b) Instructional materials c) Professional development					

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2) Administration and Implementation of Written Policies Developed at the School *(extent of implementation, stakeholder involvement)*
Place a check next to each policy area indicating the state of implementation by the principal and total school staff.

School Council Policy Areas	(a) School decisions and actions are fully consistent with written policies.	(b) Nearly all/most of school decisions are consistent with written policies.	(c) There are times when certain decisions and actions are made in ways that are inconsistent with written policies.	(d) Nearly all decisions and actions are made in ways that are inconsistent with written policies.	(e) No written policy exists.
1 Determination of curriculum					
2 Determination of the use of school space					
3 Scheduling of the school day and the school week					
4 Assignment of instructional and non-instructional staff time					
5 Assignment of students to classes and programs					
6 Selection of extra-curricular activities for the school					
7 Issues regarding instructional practices					

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School Council Policy Areas	(a) School decisions and actions are fully consistent with written policies.	(b) Nearly all/most of school decisions are consistent with written policies.	(c) There are times when certain decisions and actions are made in ways that are inconsistent with written policies	(d) Nearly all decisions and actions are made in ways that are inconsistent with written policies.	(e) No written policy exists
8 Selection of discipline and classroom management techniques					
9 Policy for determining alignment with state standards, technology utilization, and program appraisal					
10 Personnel policies a) Consultation on personnel selection b) Selection of principal					
11 Policy on committees					
12 Budget a) Determination of number of persons to be employed b) Instructional materials c) Professional development					

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B. School-Based Decision Making Planning Process

1) Development of Planning *[extent of planning, stakeholder involvement]*
Place a check next to each school plan indicating the stage of development

School Plans	(a) Plans are fully developed and based on identified needs by a collaborative effort among the SBDM council, committees and constituent groups.	(b) Plans are partially developed and based on identified needs by a collaborative effort among the SBDM council, committees and constituent groups	(c) Plans are in the initial stages of development with plans for assessing needs by the SBDM council, committees, and constituent groups	(d) Plans have not been developed by the school council or a committee.
1. School Transformation Plan or Other Plan				
2. Technology				
3. Professional Development				
4. Extended School Services				
5. Chapter I				
6. Primary				
7. Communication				
8. High School Restructuring				
9. Evaluation				

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2) Implementation of School Plan *[extent of implementation, stakeholder involvement]*
Place a check next to each school plan indicating the stage of implementation

School Plans	(a) Plans are established and fully implemented and aligned with council policy.	(b) Plans are established and partially implemented and aligned with council policy.	(c) Plans are established, implementation has begun and alignment exists in some areas.	(d) Plans have not been established, or are not implemented and no alignment exists within council policy.
1. School Transformation Plan or Other Plan				
2. Technology				
3. Professional Development				
4. Extended School Services				
5. Chapter I				
6. Primary				
7. Communication				
8. High School Restructuring				
9. Evaluation				

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3) Plan Assessment *(frequency, self-reflection)*

Check the appropriate response next to each school plan indicating the frequency at which the plan is assessed

	(a) On-going	(b) Quarterly	(c) Twice-a year	(d) Annually	(e) No assessment is done
1 School Transformation Plan or Other Plan					
2 Technology					
3 Professional Development					
4 Extended School Services					
5 Chapter I					
6 Primary					
7 Communication					
8 High School Restructuring					

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C. **Communication Sources**

1) Type of Communication *(with whom and how type)*

(Check or circle sources used, and add any not listed)

- T V /radio
- Newspaper
- Bulletin board
- Posting agenda/minutes
- Letter to parents
- SBDM Advisory Committee
- Other please specify: _____

(Check with whom the council communicates and what source of communication is used)

- Local Board of Education
- Minority
- Parents _____
- Parents _____
- Principals _____
- Students _____
- Superintendent _____
- Teachers _____

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2) Focus of Communication *[number, targeted audience]*
Circle the statement that most accurately reflects your council's process

(a)	(b)	(c)	(d)
The council's communication about SBDM matters is targeted to all stakeholders and is in compliance with the Kentucky Open Meetings Law KRS 61.805 to 61.850.	The council's communication about SBDM matters is targeted only to selected stakeholder groups and is in compliance with the Kentucky Open Meetings Law KRS 61.805 to 61.850.	The council's communication about SBDM matters is targeted to only selected individuals from stakeholder groups and is seldom in compliance with the Kentucky Open Meetings Law KRS 61.805 to 61.850.	The council's communication about SBDM matters is not provided to any stakeholder group or individual in a targeted manner and is not in compliance with the Kentucky Open Meetings Law KRS 61.805 to 61.850.

3) Timelines for Communication *[type, frequency]*

(a)	(b)	(c)	(d)
SBDM related information is communicated in an ongoing and timely manner (e.g., notification of meetings, decisions made, change of policy, etc.)	SBDM related information is communicated in an ongoing, but sporadic manner.	SBDM related information is communicated only at designated times of the year (e.g., first of the year, end of the semester, etc.).	SBDM related information is communicated on a very infrequent basis or not at all.

D. Decision Making Method
Circle the statement that most accurately reflects your council's process.

1) Focus of School Based Decision Making Council Meetings *[interaction, collaboration, stakeholder involvement]*

(a)	(b)	(c)	(d)
Meetings focus on educational initiatives and operational issues with input from all constituent groups.	Meetings focus on educational initiatives and operational issues with limited input from constituent groups.	Meetings focus on educational initiatives and operational issues with no input from constituent groups.	Meetings do not focus on educational initiatives and operational issues.

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2) Time and Location of School Based Decision Making Council Meetings *[established, collaboration, interaction]*

(a)	(b)	(c)
Meeting times and places are conveniently scheduled so all constituent groups may attend.	Meeting times and places are scheduled so that constituent groups' attendance is limited.	Meeting times and places are scheduled inconveniently for all constituent groups.

3) Agenda Setting *[relationship to educational initiatives, timeliness]*

(a)	(b)	(c)	(d)	(e)
Agenda items are determined by the chairperson and the council, items address educational initiatives and operational issues, and are distributed one week prior to meetings.	Agenda items are determined by the chairperson and the council, items address some educational initiatives and operational issues, and are distributed one day prior to meetings.	Agenda items are determined by the chairperson and the council, items address few educational initiatives and operational issues, and are distributed the day of meetings.	Agenda items do not address educational initiatives and operational issues. School council members are not involved in setting the agenda and are not aware of the items on the agenda until the time of the meeting.	No agenda is prepared or distributed.

4) Formal Method for Decision Making *[interaction, collaboration, stakeholder involvement]*
Check all the method(s) in the next two columns used to make decisions.

Council	Committee
__ Consensus	__ Consensus
__ Voting	__ Voting
__ Both	__ Both

Is the formal decision making method stated in the by-laws?
Check the item that most accurately applies.

Yes
No

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E. Training Rationale for SBDM Operation for all Stakeholders

1) Training Design *[established, interaction, based on need assessment]*
Circle the statement that most accurately reflects your council's process.

(a)	(b)	(c)	(d)	(e)
Training is provided on SBDM topics and activities linked to identified stakeholder needs and stages of council development.	Training is provided on some SBDM topics and activities that are focused on identified stakeholder needs and stages of council development.	Limited training is provided on SBDM topics and activities but there is no link between activities, and stakeholder needs or stages of development.	Topics and activities provided in training do not address stakeholder needs.	No training has been provided.

2) Recipients of Training *[who, how many]*

The recipients of the training are:
(Check all that apply)

(Trained as a group)
__ Council
__ Faculty
__ Parents
__ Committee members
__ Principals

The recipients of the training are:
(Check all that apply)

(Trained individually)
__ Council
__ Faculty
__ Parents
__ Committee members
__ Principals

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3) Training Frequency of Occurrence *[timing, frequency]*
(Circle the most appropriate)

(a)	(b)	(c)	(d)
On going	Yearly	There is one time training only without later follow up.	None

F. **Support for SBDM** *[stakeholder involvement, support]*

	(a)	(b)	(c)	(d)
	Stakeholders support the implementation of SBDM policies through positive involvement, providing and participating in SBDM training, and communicating with SBDM councils and committees.	Stakeholders provide limited support of SBDM policies through limited involvement in training and occasional participation with school councils and their committees.	Stakeholders provide minimal support of SBDM through a lack of involvement with SBDM councils or committees.	Stakeholders do not support SBDM policies.
Place a check next to each stakeholder indicating the level of support using the above response descriptions a-d.				
Local Board of Education				
Minority Parents				
Parents				
Principals				
School District Office				
Students				
Superintendent				
Teachers				

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APPENDIX B
GEOGRAPHIC AREAS SERVED BY EIGHT
KENTUCKY DEPARTMENT OF EDUCATION
REGION SERVICE CENTERS

Source: Kentucky Schools 1994-95 Directory. Frankfort, KY: Kentucky Department of Education.

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APPENDIX C
INFORMATION LETTER REGARDING
OVERALL KIER STUDY SENT TO
SCHOOL SUPERINTENDENTS

January 27, 1995

Dear Superintendent:

The Kentucky Institute for Education Research was created by Executive Order of Governor Jones to evaluate the impact of KERA on school systems, schools, students and educators. In partial fulfillment of its mission, last summer the Institute conducted statewide surveys of the perceptions and attitudes of stakeholders toward KERA. A report of the statewide survey of school superintendents is enclosed for your information. Also, the Institute has contracted with The Evaluation Center at Western Michigan University to evaluate KIRIS. A report of their findings is scheduled to be released in mid-February.

This winter and spring the Kentucky Institute for Education Research is sponsoring four implementation studies of key KERA programs: Use of Performance Assessments for Instruction, School-Based Professional Development, School-Based Decision Making and High School Restructuring. The primary purpose of these studies is to determine the extent different program components are being implemented statewide and the most promising patterns of implementation. Contractual agreements have been made between the Institute and several state universities to involve university faculties across the state to visit schools and gather data on each of the above programs. Three or four schools in each of the state's eight regions will be randomly selected for participation in each of the four implementation studies.

On the attached page are schools in your district that have been randomly selected as study sites for specific programs. Participation is voluntary (any school may decline participation), and all data collected will be confidential with respect to school site and individuals. Letters have been mailed to the principals of the schools selected inviting them to participate in this statewide effort to evaluate the impact of KERA.

Over the next week university faculty working with these research studies will be contacting principals of your schools to obtain their response to the request to be part of these implementation studies.

On behalf of the Kentucky Institute for Education Research I request your support for our research efforts and hope you will encourage selected schools in your district to participate. We expect to gather data through interviews, observations and review of documents in February and early March and release a report by mid-May.

If you have any questions or comments about your schools' participation in these implementation studies, please do not hesieate to call me at (502) 227-9014.

Sincerely,

Roger Pankratz, Executive Director

APPENDIX D
LETTER REQUESTING PARTICIPATION IN
SBDM IMPLEMENTATION STUDY SENT TO PRINCIPALS

Januarv 27, 1995

Dear Principal:

The Kentucky Institute for Education Research is sponsoring a series of statewide studies on the implementation of major KERA programs. Last May the Institute contracted with the University of Kentucky to study the implementation of Primary Programs in 24 schools and 90 classrooms across the state. A one-page summary is enclosed that lists major findings. A 77-page research report also was produced that enables any primary program faculty to compare their progress on specIfic components with primary classrooms across the state.

The Institute has recently contracted with state universities to conduct four additional implementation studies: The Use of Performance Assessment in Instruction, School-Based Professional Development, School-Based Decision Making and High School Restructuring. The purpose of these studies is to determine the patterns of implementation of program components across the state and identify promising practices of implementation.

Your school has been selected as one of 32 across the state to participate in a study on the implementation of School-Based Decision Making (SBDM). Participation is voluntary and you may decline our invitation, however, we sincerely request that you assist us with this important study of how KERA programs are being implemented. All data collected will remain strictly confidential with respect to the individuals and schools reporting the information. The purpose is to obtain a statewide analysis of program implementation. This study is being conducted for the Institute by faculty members and staff from several Kentucky universities with Dr. Eddy Van Meter from the University of Kentucky as the project director.

Participation of your school in this implementation study would involve a two-day visit by a trained researcher to your school at a mutually agreed time over the next 45 to 60 days. During this site visit a trained member of our SBDM research team will conduct brief interviews with selected members of your school council. The focus of these interviews will be on collecting data on the extent to which various SBDM activities have been implemented. The major purpose of this study is to describe the process of SBDM in schools across the state and not to evaluate SBDM in your school. We are, however, interested in understanding processes and practices you find working well. We believe the results of the study will be helpful to schools across the Commonwealth at various stages of implementation and to schools that are beginning to operate under an SBDM format of governance

During the next week to ten days the project director or a university researcher in your area will be contacting you about your school's participation in this implementation study. A letter also has been sent to your district superintendent informing him or her that your school has been

invited to be a data collection site. We expect to collect data from schools in February and early March and release a statewide report in May. Your school will receive a copy of the full report to enable you to compare your school's progress with a sample of schools from across the state. Thank you for giving this invitation to participate in this research effort your thoughtful consideration. We hope your school will be able to contribute to this very important attempt to gather program information that will help us improve teaching and learning in our schools.

Should you have any further questions about this study related to your Participation please do not hesitate to call either of us.

Sincerely,

Eddy Van Meter, Project Director
University of Kentucky
(606) 257-8921

Roger Pankratz, Executive Director
Kentucky Institute for Educ. Research
(502) 227-9014

APPENDIX E
ICCM/SBDM MAPS BY SCHOOL
(Number of individuals interviewed at each school indicated)

ICCM/SBDM MAPS BY SCHOOL

The design for the study required than an Innovation Component Configuration Map for School-Based Decision Making (ICCM/SBDM) be completed for each person interviewed at each school. A minimum of three SBDM council members at each school were interviewed when possible: 1 principal, 1 teacher, and 1 parent. Interviews were conducted with more than the minimum number in several instances. A composite ICCM/SBDM map was then constructed for each school by the SBDM research team member visiting the school and conducting the interviews. This composite map represents a summary of the results of all of the ICCM/SBDM maps completed at the school, and includes the judgment of the SBDM research team member with reference to all of the information obtained during the school site visit.

School #1
Composite Map
1 parent map
1 principal map
1 teacher map

School #2
Composite Map
1 parent map
1 principal map
1 teacher map

School #3
Composite Map
1 parent map
1 principal map
1 teacher map

School #4
Composite Map
1 parent map
1 principal map
1 teacher map

School #5
Composite map
1 parent map
1 principal map
2 teacher maps

School #6
Composite Map
1 parent map
1 principal map
1 teacher map

School #7
Composite Map
1 parent map
2 principal maps
2 teacher maps

School #8
Composite Map
1 parent map
1 principal map
1 teacher map

School #9
Composite Map
1 parent map
1 principal map
1 teacher map

School #10
Composite Map
1 parent map
1 principal map
1 teacher map

School #11
Composite Map
1 parent map
1 principal map
1 teacher map

School #12
Composite Map
1 parent map
1 principal map
2 teacher maps

School #13
Composite Map
1 parent map
1 principal map
2 teacher maps

School #14
Composite Map
1 parent map
1 principal map
1 teacher map

School #15
Composite Map
1 parent map
1 principal map
1 teacher map

School #16
Composite Map
1 parent map
1 principal map
1 teacher map

School #17
Composite Map
3 parent maps
1 principal map
3 teacher maps

School #18
Composite Map
2 parent maps
1 principal map

School #19
Composite Map
1 principal map
2 teacher maps
2 parent maps

School #20
Composite Map
1 parent map
1 principal map
2 teacher maps

School #21
Composite Map
2 parent maps
1 principal map
3 teacher maps

School #22
Composite Map
2 parent maps
1 principal map
3 teacher maps

School #23
Composite Map
1 parent map
1 principal rnap
3 teacher maps

School #24
Composite Map
1 parent map
1 principal map
2 teacher maps

School #25
Composite Map
2 parent maps
1 principal map
3 teacher maps

School #26
Composite Map
2 principal maps
4 teacher maps

School #27
Composite Map
2 parent maps
1 principal map
3 teacher maps

School #28
Composite Map
2 parent maps
3 teacher maps

School #29
Composite Map
2 parent maps
1 principal map
4 teacher maps

School #30
Composite Map
2 parent maps
1 principal map
4 teacher maps

School #31
Composite Map
1 principal map
3 teacher maps

TOTAL ICCM/SBDM MAPS
31 Composite Maps
40 parent maps
33 principal maps
62 teacher maps

APPENDIX F
AGENDA OF 2-DAY TRAINING SESSION
FOR SBDM RESEARCH TEAM IN
PREPARATION FOR SCHOOL VISITS

Implementation of KERA Programs
Participant Observer Training Meeting
January 15th and 16th
Hurstbourne Hotel and Conference Center,
Louisville
Program Schedule:

Day 1, Sunday~ January 15, 1995
3 :30-4:00
4:00-4:30
4:30-6:00
Program Introduction (Large Group); Team Member Introduction; lndividual Team Orientation; Experience maps; Begin analyzing components
Outcome Day 1: Explore and familiarize the participant observer with the Innovation Component Configuration Map.

Day 2, Monday, January 16, 1995
8:30-2:00 Detailed Knowledge of Maps and Mapping (Actual experience with the mapping process)
Logistics
Timeline
Site visits
Data collection and analysis (Impressions, notes on the map, observations)
Debriefing
Protocols (Confidentiality, visit, and interview process)
Outcome Day 2: Increased knowledge, logistics/ practice of the participant observer.

APPENDIX G
PARTICIPANT OBSERVER INTERVIEW PROTOCOL

PARTICIPANT OBSERVER INTERVIEW PROTOCOL

The information in this protocol was reviewed with each person interviewed for the study prior to beginning the interview.

1. The observer's participation is part of a statewide study by the Kentucky Institute for Education Research (KIER).

   + KIER is an independent nonprofit corporation created by Executive Order of the Governor in November of 1992 for the purpose of conducting an in-depth study of the impact of the Kentucky Education Reform Act (KERA) on students, individual schools, school systems, and educators.

   + Dr. Roger Pankratz is the Executive Director of the Kentucky Institute for Education Research sponsoring this research.

2. This is a confidential process. Neither the individuals or school's name surveyed and/or interviewed will be reported.

3. There are four reform initiatives that are being studied:

   + High School Restructuring (not mandated)
   + School-Based Decision Making
   + Performance Assessment
   + Professional Development

4. KIER, Project Directors and Participant Observers are working in a collaborative partnership with Kentucky universities to conduct this research. (Eastern, Morehead, Murray, Northern, University of Louisville, University of Kentucky, Western)

5. Four separate reports will be completed, with the results available for review by June, 1995. The school will receive a copy of the final report. Data from individual schools will not be available from this study.

6. This is a developmental effort and the developers of this Innovation Component Configuration Map are periodically reviewing and revising this instrument to improve its usefulness and ability to identify important variations in practice. Your assistance, comments and suggestions will help to refine and improve the map so that we can determine the most effective or efficient variation of practice in ongoing research.

7. Reports from the other reform initiatives can be purchased from the Kentucky Institute for Education Research, 146 Consumer Lane, Frankfort, Kentucky 40601 or phone 502-227-9014.

APPENDIX H
CONSENT FORM SIGNED BY STUDY PARTICIPANT

CONSENT FORM FOR THE RESEARCH STUDY ENTITLED:

School-Based Decision Making Implementation Study

Initiated and sponsored by The Kentucky Institute for Education Research (KIER). Conducted by a research study team organized under a grant to the University of Kentucky.

****

I _____ agree to participate in the School-Based Decision Making Implementation Study which is being sponsored by The Kentucky Institute for Education Research.

I understand that the purpose of the study is to gather information on the progress being made on the implementation of SBDM by a randomly selected group of elementary, middle and secondary schools in Kentucky. The purpose is not to evaluate SBDM as such, nor to identify the SBDM circumstances of any single or particular school by name.

I understand that the observer(s)/researcher(s) will be taking notes and writing their comments on observation and interview forms.

I understand that my participation is voluntary; refusal to participate will involve no penalty or loss of benefit to me as an individual or to the school at which I work or am otherwise affiliated.

Any observation or interview form used in this study will only be assigned a numerical code for the purposes of analysis and reporting of results. Neither I nor my school will be identified by name in any reporting of the results of the study.

All data will be summarized across schools. No comparisons will be made among schools or individuals.

I understand that if, at any time, I have any questions about this study I may call Dr. Eddy Van Meter, Professor of Education at the University of Kentucky, at 606-257-8921. Dr. Van Meter is coordinator of the study team conducting this research project.

I will receive a copy of this consent form for my records.

Participant's Signature _____ Date _____

I have explained and defined in detail the research procedure in which the above individual has consented to participate.

Researcher's Signature _____ Date _____

APPENDIX I
SCHOOL CLUSTER IDENTIFICATION
BY LEVEL OF SCHOOL

SCHOOL CLUSTER IDENTIFICATION
BY
LEVEL OF SCHOOL

Cluster I.D.	Elem.Sch.	High Sch.	Middle Sch.
"1"	3	0	1
"2"	3	3	3
"3"	1	0	1
"4"	6	1	0
"5"	1	3	1
0	2	0	2

Because of the relatively small number of schools participating in the study, no extensive analyses of results by school level were conducted. However, since one conclusion of the study makes reference to the number of Cluster "5" schools, noting that three of these were high schools, it was determined that information about the cluster placement of the 31 participating schools by level was appropriate and should be included as an appendix note. While not mentioned in the text of the report, note might also be made regarding the fact that six of the Cluster "4" schools were elementary schools. In effect, it appears that a number of the elementary schools included in the study are characterized by moderate SBDM implementation overall, with part of this attributeable to only modest attention being given to the development of school-specific SBDM policies and to the assessment of school plans.